

Why NICE Actimize

Safeguarding the financial industry by preventing, detecting, and investigating financial crimes

Focus

Focus exclusively on enabling predictive, preventative compliance for regulatory and reputational risk.

Knowledge

Complete and packaged suite of offerings across all asset classes, instruments, markets, communications, and global jurisdictions.

Experience

Experience with wide spread deployments across financial institutions globally.

Partnership

Single view of risk allows you to safeguard your firm and clients and grow your business

About NICE Actimize

NICE Actimize is the largest and broadest provider of financial crime, risk and compliance solutions for regional and global financial institutions, as well as government regulators. Consistently ranked as number one in the space, NICE Actimize experts apply innovative technology to protect institutions and safeguard consumers and investors assets by identifying financial crime, preventing fraud and providing regulatory compliance. The company provides real-time, cross-channel fraud prevention, anti-money laundering detection, and trading surveillance solutions that address such concerns as payment fraud, cybercrime, sanctions monitoring, market abuse, customer due diligence and insider trading.

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Swaps Markets
Surveillance

Financial Markets Compliance
Solutions

Holistic Approach to Dodd-Frank Title VII and Global OTC Derivative Compliance

“Swap dealers now will be subject to common-sense standards for sales practices, recordkeeping and business conduct rules that will help lower risk to the rest of the economy”

*- CFTC Chairman,
January 2013*

Complex Rules & Recordkeeping Requirements for Swap Dealers

Newly adopted rules require firms to identify disruptive swap trading practices and effectively collate and reconstruct trades across all communication channels. Enhanced processes and technologies are required to analyze data, detect anomalies, maintain records, and report across various systems and surveillance levels, presenting firms with a costly compliance challenge.

Actimize Swaps Markets Surveillance

The Actimize solution provides a truly holistic approach to swaps surveillance, monitoring security-based swaps (SEC), non-security-based swaps (CFTC), and communication interactions for cross-market manipulation, product-level manipulation, and anomalous behavioral patterns.

Gain Coverage for Cftc & SEC Swap Rules

Multi-asset class analytics and flexible rule authoring provide coverage for established and emerging swaps rules and identify disruptive swap trading practices, cross-market manipulation, and news-based insider trading.

Improve Accuracy, Reduce False Positives

Fine-tuned analytics and advanced algorithms create high-quality alerts with consolidated event, market, and client-defined data, saving analysts' time by reducing the need to access multiple systems and lowering false positives.

Ease Data, Decisioning, & Recordkeeping Requirements

The solution monitors for anomalous and non-compliant activity across trading and interaction channels, while comprehensive, automated audit and reporting ensure that firms satisfy current and future surveillance and record keeping requirements.

Holistic Trade & Communication Surveillance Tools

Cross-asset class analytical models

Detect prohibited or non-compliant swaps activity with proven and enhanced algorithms across a variety of asset classes, including credit default, interest rate, equity, commodity swaps, and more.

Advanced alert management

Ensure a manageable volume of alerts and efficient use of analyst resources with sophisticated analytics, intelligent risk scoring, fine-tuned thresholds, and a consolidated alert that includes graphical display and relevant product, order, and execution data.

Flexible, intelligent policy management

Modify existing thresholds, scoring, and list values, author new rules, and create multiple instances of a single rule using intuitive detection scenarios and rule authoring capabilities.

Intuitive, modern investigative tools

Help analysts spot anomalous activities quickly and easily with Actimize Market Visualization, a graphical tool providing an interactive display of market activity overlaid with firm transactions, alerts, and market news.

Comprehensive approach to Dodd-Frank and global OTC derivative requirements

Highlight areas of non-compliance and risk potential by correlating transactions and recordings from different channels, graphically representing voice, SMS, email, and social media interactions for complete trade reconstruction.



Intuitive, graphical representation of data helps identify key issues